
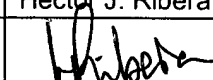


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PTO/SB/05 (08-00) (modified)  
Approved for use through 9/30/2001, OMB 0651-0032  
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

+

<b>NEW UTILITY PATENT APPLICATION TRANSMITTAL</b> <i>(only for new nonprovisional applications under 37 CFR 1.53(b))</i>		<table border="1" style="width: 100%; border-collapse: collapse;"><tr><td style="padding: 2px;">Attorney Docket Number</td><td style="padding: 2px;">23990-08225</td></tr><tr><td style="padding: 2px;">First Named Inventor</td><td style="padding: 2px;">Peter B. Evans</td></tr><tr><td style="padding: 2px;">Title</td><td style="padding: 2px;">Assessing Distributed Energy Resources for the Energynet</td></tr><tr><td style="padding: 2px;">Express Mail Label No.</td><td style="padding: 2px;">EV 334257675US</td></tr></table>	Attorney Docket Number	23990-08225	First Named Inventor	Peter B. Evans	Title	Assessing Distributed Energy Resources for the Energynet	Express Mail Label No.	EV 334257675US
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<b>APPLICATION ELEMENTS</b> <table style="width: 100%;"><tr><td style="width: 50%; vertical-align: top;">1. <input checked="" type="checkbox"/> Fee Transmittal Form (in duplicate) 2. <input checked="" type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27 3. <input checked="" type="checkbox"/> Specification <span style="float: right;">Total Pages <span style="border: 1px solid black; padding: 0 10px;">63</span></span> <i>(preferred arrangement set forth below)</i><ul style="list-style-type: none"><li>■ Descriptive Title of the Invention</li><li>■ Cross Reference(s) to Related Case(s)</li><li>■ Statement Regarding Fed sponsored R &amp; D</li><li>■ Background of the Invention</li><li>■ Brief Summary of the Invention</li><li>■ Brief Description of the Drawing(s)</li><li>■ Detailed Description</li><li>■ Claim or Claims</li><li>■ Abstract of the Disclosure</li></ul>4. <input checked="" type="checkbox"/> Drawing(s) (35 U.S.C. 113) <span style="float: right;">Total Sheets <span style="border: 1px solid black; padding: 0 10px;">5</span></span> 5. Combined Declaration &amp; Power of Attorney a. <input checked="" type="checkbox"/> New Declaration <span style="float: right;">Total Pages <span style="border: 1px solid black; padding: 0 10px;">2</span></span> <div style="margin-left: 20px;"><input checked="" type="checkbox"/> Executed (original or copy)</div>b. <input type="checkbox"/> Copy from a prior application (37 CFR 1.63(d)) <i>(for continuation/divisional with Box 18 completed)</i><div style="margin-left: 20px;">i. <input type="checkbox"/> DELETION OF INVENTOR(S) Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).</div>6. <input type="checkbox"/> Application Data Sheet. See 37 CFR 1.76</td><td style="width: 50%; vertical-align: top;"><b>ACCOMPANYING APPLICATION PARTS</b> 7. <input type="checkbox"/> Assignment Papers (cover sheet &amp; document(s)) 8. <input type="checkbox"/> Certified Copy of Priority Document(s) <i>(if foreign priority is claimed)</i> 9. <input type="checkbox"/> Power of Attorney or Authorization of Agent 10. <input type="checkbox"/> 37 CFR 3.73(b) Statement 11. <input type="checkbox"/> Preliminary Amendment 12. <input type="checkbox"/> Information Disclosure Statement &amp; PTO/SB/08A <div style="margin-left: 20px;"><input type="checkbox"/> Copies of IDS Citation(s)</div>13. <input checked="" type="checkbox"/> Nonpublication Request under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent 14. <input checked="" type="checkbox"/> Return Postcard 15. <input type="checkbox"/> 16. <input type="checkbox"/> 17. <input type="checkbox"/></td></tr></table>		1. <input checked="" type="checkbox"/> Fee Transmittal Form (in duplicate) 2. <input checked="" type="checkbox"/> Applicant claims small entity status. 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<b>18. If a CONTINUING APPLICATION, check appropriate box and supply the requisite information below and in a preliminary amendment or in an Application Data Sheet under 37 CFR 1.76:</b> <div style="display: flex; justify-content: space-between;"><div><input type="checkbox"/> Continuation <input type="checkbox"/> Divisional <input type="checkbox"/> Continuation-in-part (CIP)</div><div>of prior application No: <span style="border-bottom: 1px solid black; width: 100px; display: inline-block;"></span></div></div> <div style="margin-top: 5px;">Prior application information: Examiner: <span style="border-bottom: 1px solid black; width: 150px; display: inline-block;"></span> Group/Art Unit: <span style="border-bottom: 1px solid black; width: 100px; display: inline-block;"></span></div> <p><b>For CONTINUATION OR DIVISIONAL APPS only:</b> The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuing or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.</p>		<b>ADDRESS TO:</b> <div style="text-align: center; margin-top: 10px;"><b>Mail Stop Patent Application Commissioner for Patents P.O. Box 1450 Alexandria, VA 22313-1450</b></div>								
<b>19. CORRESPONDENCE ADDRESS</b>										
<div style="display: flex; justify-content: space-between; align-items: flex-end;"><div style="width: 30%;"><input checked="" type="checkbox"/> Customer Number</div><div style="width: 40%; text-align: center; font-size: 2em;">00758</div><div style="width: 30%;"></div></div>										
Name (Print/Type)	Hector J. Ribera	Registration No. (Attorney/Agent)	54,397							
Signature		Date	September 17, 2003							

# FEE TRANSMITTAL for FY 2003

Patent fees are subject to annual revision.

☒ Applicant claims small entity status. See 37 CFR 1.27

**TOTAL AMOUNT OF PAYMENT (\$)** 543

## Complete if Known

Application Number	Not Yet Known
Filing Date	September 17, 2003
First Named Inventor	Peter B. Evans
Examiner Name	Not Yet Known
Art Unit	Not Yet Known
Attorney Docket No.	23990-08225

## METHOD OF PAYMENT (check all that apply)

☒ Check ☐ Credit Card ☐ Money Order ☐ Other ☐ None  
☐ Deposit Account:

Deposit Account Number 19-2555

Deposit Account Name Fenwick & West LLP

The Commissioner is authorized to: (check all that apply)

☐ Charge fee(s) indicated below ☐ Credit any overpayments  
☒ Charge any additional fee(s) during the pendency of this application  
☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

## FEE CALCULATION

### 1. BASIC FILING FEE

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1001	750	2001	375	Utility filing fee	375
1002	330	2002	165	Design filing fee	
1003	520	2003	260	Plant filing fee	
1004	750	2004	375	Reissue filing fee	
1005	160	2005	80	Provisional filing fee	
<b>SUBTOTAL (1)</b>					<b>(\$)</b> 375

### 2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

Total Claims	Extra Claims	Fee from below	Fee Paid
20	-20**= 0	9	0
Independent Claims	7	-3**= 4	42
Multiple Dependent			

Large Entity		Small Entity		Fee Description
Fee Code	Fee (\$)	Fee Code	Fee (\$)	
1202	18	2202	9	Claims in excess of 20
1201	84	2201	42	Independent claims in excess of 3
1203	280	2203	140	Multiple dependent claim, if not paid
1204	84	2204	42	**Reissue independent claims over original patent
1205	18	2205	9	**Reissue claims in excess of 20 and over original patent

**SUBTOTAL (2)** (\$)

\*\*or number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES


Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1051	130	2051	65	Surcharge - late filing fee or oath	
1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet	
1053	130	1053	130	Non-English specification	
1812	2,520	1812	2,520	For filing a request for <i>ex parte</i> reexamination	
1804	920*	1804	920*	Requesting publication of SIR prior to Examiner action	
1805	1,840*	1805	1,840*	Requesting publication of SIR after Examiner action	
1251	110	2251	55	Extension for reply within first month	
1252	410	2252	205	Extension for reply within second month	
1253	930	2253	465	Extension for reply within third month	
1254	1,450	2254	725	Extension for reply within fourth month	
1255	1,970	2255	985	Extension for reply within fifth month	
1401	320	2401	160	Notice of Appeal	
1402	320	2402	160	Filing a brief in support of an appeal	
1403	280	2403	140	Request for oral hearing	
1451	1,510	1451	1,510	Petition to institute a public use proceeding	
1452	110	2452	55	Petition to revive - unavoidable	
1453	1,300	2453	650	Petition to revive - unintentional	
1501	1,300	2501	650	Utility issue fee (or reissue)	
1502	470	2502	235	Design issue fee	
1503	630	2503	315	Plant issue fee	
1460	130	1460	130	Petitions to the Commissioner	
1807	50	1807	50	Processing fee under 37 CFR 1.17(g)	
1806	180	1806	180	Submission of Information Disclosure Stmt	
8021	40	8021	40	Recording each patent assignment per property (times number of properties)	
1809	750	2809	375	Filing a submission after final rejection (37 CFR 1.129(a))	
1810	750	2810	375	For each additional invention to be examined (37 CFR 1.129(b))	
1801	750	2801	375	Request for Continued Examination (RCE)	
1802	900	1802	900	Request for expedited examination of a design application	

Other fee (specify) \_\_\_\_\_

**SUBTOTAL (3)** (\$)

\*Reduced by Basic Filing Fee Paid


## SUBMITTED BY

Name (Print/Type)	Hector J. Ribera	Registration No. (Attorney/Agent)	54,397	Complete (if applicable)
Signature		Date	September 17, 2003	Telephone (650) 335-7192

<b>NONPUBLICATION REQUEST UNDER 35 U.S.C. 122(b)(2)(B)(i)</b>	First Named Inventor	Peter B. Evans
	Title	Assessing Distributed Energy Resources for the EnergyNet
	Atty Docket Number	23990-08225

I hereby certify that the invention disclosed in the attached application **has not been and will not be** the subject of an application filed in another country, or under a multilateral agreement, that requires publication at eighteen months after filing. I hereby request that the attached application not be published under 35 U.S.C. 122(b).

September 17, 2003  
Date

  
Signature

Hector J. Ribera, Reg. No. 54,397  
Typed or printed name/Registration Number

This request must be signed in compliance with 37 CFR 1.33(b) and submitted with the application **upon filing**.

Applicant may rescind this nonpublication request at any time. If applicant rescinds a request that an application not be published under 35 U.S.C. 122(b), the application will be scheduled for publication at eighteen months from the earliest claimed filing date for which a benefit is claimed.

If applicant subsequently files an application directed to the invention disclosed in the attached application in another country, or under a multilateral international agreement, that requires publication of applications eighteen months after filing, the applicant **must** notify the United States Patent and Trademark Office of such filing within forty-five (45) days after the date of the filing of such foreign or international application. **Failure to do so will result in abandonment of this application (35 U.S.C. 122(b)(2)(B)(iii)).**

Burden Hour Statement: This collection of information is required by 37 CFR 1.213(a). The information is used by the public to request that an application not be published under 35 U.S.C. 122(b) (and the PTO to process that request). Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This form is estimated to take 6 minutes to complete. This time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.